



Administrative Policies and Procedures: 9.2

Subject:	Youth Case Files in DCS Group Homes
Authority:	TCA37-5-105; 37-5-106
Standards:	COA: PA-CR2, PA-RPM 2, PA-RPM 6, PA-TS 2.02; DCS Practice Model Standard: 7-102A, 8-306
Application:	To All Department of Children's Services Group Home Employees

Policy Statement:

All youth case files shall be maintained in a systematic manner and shall be safeguarded from unauthorized and improper disclosure of information.

Purpose:

To ensure that youth case files are protected, kept in an organized manner and contain all pertinent information required to effectively manage the case.

Procedures:

A. Confidentiality	<ol style="list-style-type: none">1. Case files must be marked "<u>CONFIDENTIAL</u>." The file cabinets or drawers where files are stored must be marked "<u>CONFIDENTIAL</u>." Case files must be stored alphabetically by the youth's name.2. When not in use, active and inactive student master files shall be stored in a locked metal cabinet. Each cabinet containing case files shall be clearly labeled "<u>CONFIDENTIAL</u>."3. The release of case file information must be in accordance with Federal and State statutes, DCS policies <u>9.5, Access and Release of Confidential Child-Specific Information, 20.25, Health Information Records and Access</u> and applicable DCS Health Insurance Portability and Accountability Act of 1996 (HIPAA) policies.
B. Case file type	<ol style="list-style-type: none">1. All documents related to a youth must be maintained in the format outlined in section "C" of this policy. The style used to maintain information is at the discretion of each facility. Tabs or index dividers labeling the sections must be on top of the documents and areas easily identified. If binders are used, closed files should not be stored in the binders. Binders should be recycled and used over again.2. Information must be filed in chronological order with the most recent on top.3. All information received from outside the Department of Children's Services

	<p>must be stamped with the date of receipt.</p> <ol style="list-style-type: none"> 4. The tab or spine of the file cover should list at, a minimum, the youth's last name, first and middle initials and date of birth. 5. If the record expands to more than one binder the material should be kept in one set of tabs with contents divided between the multiple binders. If one section of a folder becomes full, a second file for one section, i.e., conduct, psychological may be created as a continuation of the youth's case file.
C. File contents	<p>The contents of a youth's case paper file must be organized from front to back utilizing the following format:</p> <ol style="list-style-type: none"> 1. Legal/Intake/Release: This section consists of, but is not limited to, initial identifying information describing the youth and his/her family, all record information generated for or by the judiciary and the release documentation from the facility and documents issued by another entity. Appropriate documentation shall include the following: <ol style="list-style-type: none"> a) Release documents - <u>CS-0130, Release to Home Placement</u> b) <u>CS-0060, Facility Face Sheet</u> (completed) c) Court orders/re-hearings/new charges d) Prior record from court e) Correspondence to and from court f) Form, <u>CS-0318, Referral to DCS Legal Services/Legal Aid</u> g) Photo of youth upon entry into program if not on face sheet h) Signed statement that orientation has been completed- Form, <u>CS-0176, Orientation Checklist</u> i) Form, <u>CS-0158, Notification of Equal Access to Programs</u> j) Social Security Card k) Birth certificate l) Driver's license number (if available) m) Other related legal material 2. Case Recordings/Correspondence: This section consists of, but is not limited to, chronological information concerning each contact with the youth/family or other individuals. Appropriate documentation shall include the following: <ol style="list-style-type: none"> a) Narratives, monthly recordings, collaterals, case notes/progress notes, dictation, contacts or case documentation on youth and family contact. b) All entries must be dated and identified by the signature of the person making the entry. c) Correspondence to family, collateral contacts home county case manager and within the facility.

3. Social History/Functional Assessment:

Social histories/functional assessment, non-custodial assessment, predispositional reports, master index

4. *Assessment/Psychological:* This section consists of, but is not limited to, information collected and utilized as the basis for all case management decisions made for families and children relative to the intensity of their level of care services and information collected by any mental health professionals. Appropriate documentation shall include the following:

- a) Information from referral source
- b) Contacts with mental health professionals
- c) Psychological evaluations
- d) Summary of testing

5. *Individual Program Plan (IPP)/Treatment Plan:* This section consists of, but is not limited to information describing or related to the treatment plan for a youth and their families. Appropriate documentation shall include the following:

- a) Release of information forms, [CS-0559, Authorization for Release of Child-Specific from the Department of Children's Services](#) and/or [CS-0668, Authorization for Release of Information to the Department of Children's Services](#) (as applicable);
- b) Permanency plans/Plan of Care/Treatment Plan/Individual Program Plan (IPP);
- c) Progress reports/staffing summaries/periodic reviews
- d) Referrals to other agencies
- e) Reclassification documents

6. *Visitation/Pass/Property/Telephone:* This section consists of documentation of approved contacts, passes and youth's personal property.

- a) [CS-0111, Approved Contact List](#)
- b) [CS-0058, Temporary Custody Agreement](#)
- e) [CS-0162, Personal Property Inventory](#)
- f) [CS-0317, Property Inventory For Passes](#) – from DCS Group Home
- g) Documentation of lost or stolen property/correspondence regarding property

7. *Educational/Vocational/Employment:* This includes public school information, DCS school data upon youth's release and employment information and documentation.

- a) Educational/vocational testing
- b) Public school documentation DCS school documentation (upon release)
- c) Employment information/pay stubs

	<p>8. Medical: Medical records and health history upon release</p> <ul style="list-style-type: none"> a) <u>CS-0206, Authorization for Routine Health Services for Minors</u> b) All medical records upon release c) TennCare change of circumstance d) Copy of TennCare card e) Medical file upon release for archiving <p>9. Conduct/Incident Reports/Grievances: This section consists of, but is not limited to, information regarding significant events requiring official documentation and correspondence from other agencies and youth grievances and appeals that are written during the facility commitment. Appropriate documentation shall include the following:</p> <ul style="list-style-type: none"> a) Critical Incident Report or <u>CS-0311, Incident Report</u> b) <u>CS-0296, Notice of Apprehension</u> c) Disciplinary Reports d) Point Sheets/Behavioral Contracts e) Grievances f) Appeals <p>10. Miscellaneous: This section consists of, but is not limited to, copies of computer generated documents and other information related to the youth's case.</p>
D. Consolidating files	Upon a youth's release from the department or transfer to a contract agency, all other working files on a youth, such as educational, medical and counseling, will be consolidated into the master youth case file for storage pending eventual disposition.
E. Case file auditing	The DCS Group Home supervisor must review all case files monthly. This must be documented by a date and signature of the supervisor at the end of the month's case recordings.

Forms:	<i>None</i>
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Collateral documents:	<i>None</i>
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